

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES  
WASHINGTON, D.C. 20202-2575

**FY 2004 APPLICATION KIT FOR NEW GRANTS  
UNDER  
THE NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION  
RESEARCH**

**SMALL BUSINESS INNOVATION RESEARCH PROGRAM**

**PHASE I**

**CFDA NUMBER: 84.133S-1**



FORM APPROVED  
OMB No. 1890-0012, EXP. DATE 1/28/2006  
ED FORM 424, 11/30/2004

**DATED MATERIAL - OPEN IMMEDIATELY**

**CLOSING DATE: JUNE 1, 2004**

DATE: March 26, 2004

Dear Applicant:

The Secretary invites applications for new awards for Fiscal Year (FY) 2004 for the Small Business Innovation Research (SBIR) Program (CFDA 84.133S-1) in the March 30, 2004 Federal Register. The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation.

It is anticipated that we will fund 15 awards under this program. Under this competition we are particularly interested in applications that address one of the four invitational priorities. The maximum amount in the 6 month budget period is \$75,000, which includes both direct and indirect costs and fee.

The applicant must submit a **mandatory** Letter of Intent (LOI), See Section I (H), the due date for the LOI is APRIL 30, 2004.

#### ELIGIBLE APPLICANTS:

Small business concerns as defined by the Small Business Administration (SBA) at the time of the award. Each organization submitting an application must qualify as a small business concern as defined by the SBA at the time of the award. This definition is included in the application package. Firms with strong research capabilities in technologies, science, or engineering to any of the priority areas listed in this notice are encouraged to participate.

#### APPLICATION PROCEDURES

This application kit contains information and the required forms for potential applicants to apply and be considered for a FY 2004 grant award under the SBIR competition, including the published Federal Register notice dated March 30, 2004. Potential applicants are advised to read the materials carefully, particularly the information on the types of organizations that are eligible to apply for these grants, how to prepare an application, the dollar amount for the budget period, the protection of human subjects, and the selection criteria (Section V.) used by the reviewers to evaluate each application.

These application instructions indicate that you must submit your application electronically through the Department's e-applications process or you can request a waiver in order to send it by mail (postmarked), hand-deliver, or by carrier service. You must submit one original and two copies of your application on or before the application deadline date.

The closing date (application deadline) is **JUNE 1, 2004**. Please remember that the E-Application system will not be available on Sunday, May 30<sup>th</sup> and on Monday, May 31<sup>st</sup> because of the Federal Holiday.

### PROGRAM RULES

These grants are subject to (a) the requirements of Education Department General Administrative Regulations (EDGAR), 34 CFR part 74, 75, 77, 80, 81, 82, 85, 86, and 97, which set forth general rules affecting the submittal, review, grant award, and post-award administration for Department of Education grant programs and (b) the program regulations 34 CFR part 350.

### TECHNICAL ASSISTANCE

If you have any questions about the information in this application packet, please contact Donna Nangle either by e-mail at Donna.Nangle@ed.gov or by telephone at (202) 205-5880. Individuals who use a telecommunications device (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339 between 8:00 a.m. and 4:00 p.m., EST, Monday through Friday. Please review the Frequently Asked Questions and Points to Remember in Application Preparation (Section I).

For questions about the SBIR program, please contact Dr. Kristi E. Wilson, either by e-mail at Kristi.Wilson@ed.gov or by telephone at (202) 260-0988.

**NOTE:** Please forward this entire application packet to the individual or office responsible for preparing the application as they will need the entire packet to complete the grant application.

Thank you for your interest in this program.

Sincerely,

//Signed//

Steven James Tingus, M.S., C.Phil.  
Director,  
National Institute on Disability  
and Rehabilitation Research

### **Estimated Public Reporting Burden**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0012. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Kristi E. Wilson, Ph.D., SBIR Program Officer, National Institute on Disability and Rehabilitation Research, U.S. Department of Education, Room 3433, MES Building, 400 Maryland Avenue, Washington, D.C. 20202.

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**U.S. DEPARTMENT OF EDUCATION  
SMALL BUSINESS INNOVATION RESEARCH OSERS/NIDRR (SBIR)  
PROGRAM ANNOUNCEMENT FOR FY 2004**

**I. PROGRAM OVERVIEW**

**A. Introduction**

The **U.S. Department of Education (ED), Office of Special Education and Rehabilitative Services (OSERS), National Institute on Disability and Rehabilitation Research (NIDRR)** invites small business firms to submit Phase I research applications under this program announcement entitled **Small Business Innovation Research (SBIR)**. Firms with strong research capabilities in educational and assistive technologies, science, or engineering in any of the priority areas listed within are encouraged to participate. Consultative or other arrangements between such firms and universities or other non-profit organizations are permitted, but the small business must serve as the grantee.<sup>1</sup>

The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation.

**B. SBIR Program Description and Award Levels**

The three phases of the SBIR program are:

**Phase I.** -- Phase I is to determine, insofar as possible, the scientific or technical merit and feasibility of ideas submitted under the SBIR program. The application should concentrate on research that will significantly contribute to proving the scientific or technical feasibility of the approach or concept and that would be prerequisite to further ED support in Phase II. Applications are evaluated by panels of expert reviewers based on criteria published in this program announcement. Awards are for periods **up to 6 months** in amounts up to **\$75,000**, the maximum amount includes both direct and indirect costs and fee. For FY 2004, ED anticipates making approximately 15 grant awards for CFDA number 84.133S.

**Phase II.** -- Phase II is to expand on the results of and to further pursue the development of Phase I projects. Phase II is the principal research or R&D effort. It requires a more comprehensive application, outlining the effort in detail including the commercial potential. Phase II applicants must be Phase I awardees with approaches that appear sufficiently promising as a result of Phase I. Once again, applications are evaluated based on published criteria by panels of experts.

Awards are for periods **up to 2 years** in the maximum amount of **\$250,000**, per year. The maximum amount includes both direct and indirect costs and fee.

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<sup>1</sup> A note of caution that such arrangements may be permitted as long as they do not affect the small business size, status or eligibility of the prime awardee as provided for in Definitions – “Small Business Concern.”

Both Phase I and Phase II awards may include a reasonable profit/fee, but cannot exceed the maximum amount in any budget year. Applications that exceed the maximum amount in any year will not be reviewed.

**Phase III.** – In Phase III, the small business must use non-SBIR capital to pursue commercial applications of the research or research and development. Also, under Phase III, Federal agencies may award non-SBIR follow-on funding for products or processes that meet the needs of those agencies. NIDRR does not presently participate in Phase III.

### **C. Authorization**

P.L. 106-554, the “Small Business Reauthorization Act of 2000, H.R. 5667” (the “Act”) was enacted on December 21, 2000. The Act requires certain agencies, including the Department of Education, to establish SBIR programs by reserving a statutory percentage of their extramural research and development budgets to be awarded to small business concerns for research or R&D through a uniform, highly competitive, three-phase process. The Act further requires the Small Business Administration (SBA) to issue policy directives for the general conduct of the SBIR programs within the Federal Government.

Note. -- The Small Business Innovation Research Policy Directive Notice was published in the “Federal Register” / Vol. 67, No. 185 / Tuesday, September 24, 2002 / pages 60072 – 60098. It is also available from the Small Business Administration’s SBIR website at:

<http://www.sba.gov/sbir/sbirpolicydirective.html>

The SBIR policy directive guides the information and requirements set forth in this application package.

Funding for those awards issued as a result of this solicitation comes from:

Title II of the Rehabilitation Act of 1973, as amended, Pub. L. 105-220 (29 U.S.C. 760-764).

### **D. Applicant Eligibility**

Each organization submitting an application **must** qualify as a **small business concern** as defined by the Small Business Administration **at the time of the award**. The complete definition is included in Section III, “Definitions.”

In addition, the **primary employment of the principal investigator must** be with the small business firm at the time of award and during the conduct of the proposed research. That is, more than one-half of the principal investigator’s working time must be spent with the small business firm during the period of performance. Also, for both Phase I and Phase II the research or R&D work **must** be performed in the United States. “United States” means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

**Joint ventures** are permitted, provided that the business entity created qualifies as a small business in accordance with the Small Business Act, 15 U.S.C. 631. For **Phase I**, the proposing firm must perform at least two-thirds of the research and/or analytic effort. Furthermore, the total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-third of the total funding agreement price.

## SBIR Eligibility Checklist

- ✓ For-profit small business concern.
- ✓ At least 51% U.S.-owned and independently operated.
- ✓ Small business located in the U.S.
- ✓ Principal investigator's primary employment with small business during the project.
- ✓ 500 or fewer employees.

Department of Education staff will examine all SBIR grant applications with the above considerations in mind. If it appears that an applicant organization does not meet the eligibility requirements, we will request an evaluation by the SBA. Under circumstances in which eligibility is unclear, we will not make an SBIR award until the SBA provides a determination.

### **E. Application Limitations**

An application must be limited to one priority listed in this program announcement. When an application is relevant to more than one priority, the applicant must decide which priority is most relevant and submit it under that priority only. However, there is no limitation on the number of different applications that an applicant may submit under this competition, even to the same priority. A firm may submit separate applications on different priorities, or different applications on the same priority, but each application should respond to only one priority. Duplicate applications will be returned without review.

### **F. Key Dates and Award Information**

The Department of Education is required under P.L. 106-554 to participate in the Small Business Innovation Research (SBIR) program. The Government's obligation under this award is contingent upon the availability of appropriated funds from which payments are made. The Department is not bound by the estimates given below.

The Department of Education expects to make approximately 15 Phase I grant awards ranging up to \$75,000 in fiscal year 2004. The Department expects to announce awards by mid-August to mid-September, 2004. The project start date should be October 1, 2004. Successful applicants have up to 6 months to carry out the proposed Phase I effort.

For planning purposes only, ED anticipates that approximately one-third of the Phase I awardees will receive Phase II awards, depending on the results of the Phase I efforts, applicant evaluations and the availability of funds. Phase II is to further develop ideas explored during Phase I. Specific instructions for the preparation of Phase II applications will be sent to qualifying Phase I awardees near the completion of the Phase I work.

**APPLICATIONS ARE DUE ON JUNE 1, 2004. PLEASE REMEMBER THAT THE E-APPLICATION SYSTEM WILL NOT BE AVAILABLE ON SUNDAY MAY 30 AND MAY 31, 2004 BECAUSE OF THE FEDERAL HOLIDAY.**

**The National Institute on Disability and Rehabilitation Research is under no obligation to fund any specific application or make any specific number of awards in a given research priority area. The agency may elect to fund several or none of the proposed projects within a given priority area, and is not responsible for any monies expended by the applicant before an award.**

## **G. Recent Changes in Legislation**

**Recent Changes in Legislation.** The authorizing legislation (P.L. 106-554, the “Small Business Reauthorization Act of 2000, H.R. 5667” of the Consolidated Appropriations Act of 2001) was enacted on December 21, 2000. The law requires two (2) significant programmatic changes especially pertinent to Phase II applicants:

1. **Commercialization Plan** -- A succinct commercialization plan must be included with each proposal for an SBIR Phase II award moving toward commercialization. More specific information will be included with the Phase II program announcement.
2. **Data Collection Requirement** – Each Phase II applicant will be required to provide information for the Small Business Administration’s (SBA) Tech-Net Database System (<http://technet.sba.gov>).

## **H. Mandatory Letter of Intent**

**Notice of Intent to Apply:** Due to the open nature of the SBIR competition, and to assist with the selection of reviewers for this competition, NIDRR is **requiring** all potential applicants to submit a Letter of Intent (LOI). While the submission is mandatory, the content of the LOI will not be peer reviewed or otherwise used to rate an applicant’s application. We will notify only those potential applicants who have failed to submit an LOI that meets the requirements listed below.

Each LOI should be limited to a maximum of four pages and include the following information: (1) the title of the proposed project, which invitational priority will be addressed, the name of the company, the name of the Project Director or Principal Investigator (PI), and the names of partner institutions and entities; (2) a brief statement of the vision, goals, and objectives of the proposed project and a description of its activities at a sufficient level of detail to allow NIDRR to select potential peer reviewers; (3) a list of proposed project staff including the Project Director or PI and key personnel; (4) a list of individuals whose selection as a peer reviewer might constitute a conflict of interest due to involvement in proposal development, selection as an advisory board member, co-PI relationships, etc.; and (5) contact information for the Project Director or PI. Submission of a LOI is a prerequisite for eligibility to submit an application.

NIDRR will accept a LOI via surface mail, e-mail, or facsimile by **APRIL 30, 2004**. If a LOI is submitted via e-mail or facsimile, the applicant must also provide NIDRR with the original signed LOI within seven days after the date the e-mail or facsimile is submitted. The LOI must be sent to: Surface mail: Carol Cohen, U.S. Department of Education, 400 Maryland Avenue, SW., room 3420, Switzer Building, Washington, DC 20202-2645; or fax (202) 205-8515; or e-mail: [carol.cohen@ed.gov](mailto:carol.cohen@ed.gov)

For further information regarding the LOI requirement contact Carol Cohen at (202) 205-5666.

## II. AGENCY CONTACTS

All questions about the NIDRR SBIR program should be directed to:

**Kristi E. Wilson, Ph.D.**

NIDRR SBIR Program Officer

US Department of Education

Rm. 3433 – MES

400 Maryland Avenue

Washington, D.C. 20202

**Phone:** (202) 260-0988

**Email:** [Kristi.Wilson@ed.gov](mailto:Kristi.Wilson@ed.gov)

The following table includes points of contact information for each of the ED awarding components:

AWARDING COMPONENT CONTACT INFORMATION		
<u>AWARDING COMPONENT</u>	PROGRAM OFFICE CONTACT	GRANTS MANAGEMENT CONTACT
<b>Office of Special Education and Rehabilitative Services (OSERS)</b> <a href="http://www.ed.gov/about/offices/list/osers/index.html">http://www.ed.gov/about/offices/list/osers/index.html</a>	<b>Dr. Kristi E. Wilson</b> Phone: (202) 260-0988 Email: <a href="mailto:kristi.wilson@ed.gov">kristi.wilson@ed.gov</a>	<b>Ms. Donna Nangle</b> Phone: (202) 205-5880 Email: <a href="mailto:donna.nangle@ed.gov">donna.nangle@ed.gov</a>

Address questions pertaining to **human subjects research issues** to:

**Helene Deramond**

Coordinator, Protection of Human Subjects

Grants Policy Oversight Staff

U.S. Department of Education

Room 3652 – ROB3

7<sup>th</sup> and D Streets, SW

Washington, DC 20202-4248

**Phone:** (202) 260-5353

**Email:** [helene.deramond@ed.gov](mailto:helene.deramond@ed.gov)

### **III. DEFINITIONS**

The Small Business Administration (SBA) developed the following definitions relevant to the Small Business Innovation Research (SBIR) Program:

#### **Applicant**

The organizational entity that, at the time of award, will qualify as a Small Business Concern (SBC) and that submits a contract proposal or a grant application for a funding agreement under the SBIR Program.

#### **Affiliate**

This term has the same meaning as set forth in 13 CFR Part 121 - Small Business Size Regulations, §121.103.

#### **Awardee**

The SBC receiving an SBIR funding agreement.

#### **Commercialization**

The process of developing marketable products and/or services and producing and delivering products or services for sale (whether by the originating party or by others) to Government and/or commercial markets.

#### **Essentially Equivalent Work**

The "scientific overlap," which occurs when (1) substantially the same research is proposed for funding in more than one contract proposal or grant application submitted to the same Federal agency; (2) substantially the same research is submitted to two or more different Federal agencies for review and funding consideration; or (3) a specific research objective and the research design for accomplishing an objective are the same or closely related in two or more proposals or awards, regardless of the funding source.

#### **Extramural Budget**

The sum of the total obligations for R/R&D minus amounts obligated for R/R&D activities by employees of a Federal agency in or through Government-owned, Government-operated facilities.

#### **Feasibility**

The practical extent to which a project is capable of being successfully performed.

#### **Historically Underutilized Business Zone (HUBZone)**

An SBC meeting the following criteria:

1. Located in a "historically underutilized business zone" or HUBZone area located in one or more of the following:
  - a) A qualified census tract (as defined in section 42(d)(5)(C)(i)(I) of the Internal Revenue Code of 1986;
  - b) A qualified "non-metropolitan county" (as defined in section 143(k)(2)(B) of the Internal Revenue Code of 1986) with a median household income of less than 80 percent of the State median household income or with an unemployment rate of not less than 140 percent of the Statewide average, based on US Department of Labor recent data; or,
  - c) Lands within the boundaries of federally recognized Indian reservations.
2. Owned and controlled by one or more US Citizens; and,
3. At least 35% of its employees must reside in a HUBZone.

**Innovation**

Something new or improved, having marketable potential, including (1) development of new technologies, (2) refinement of existing technologies, or (3) development of new applications for existing technologies.

**Intellectual Property**

The separate and distinct types of intangible property that are referred to collectively as "intellectual property," including but not limited to: patents, trademarks, copyrights, trade secrets, SBIR technical data (as defined in this section), ideas, designs, know-how, business, technical and research methods, and other types of intangible business assets, and including all types of intangible assets either proposed or generated by an SBC as a result of its participation in the SBIR Program.

**Joint Venture**

An association of persons or concerns with interests in any degree or proportion by way of contract, express or implied, consorting to engage in and carry out a single specific business venture for joint profit, for which purpose they combine their efforts, property, money, skill, or knowledge, but not on a continuing or permanent basis for conducting business generally. A joint venture is viewed as a business entity in determining power to control its management, has its own Employer Identification Number as assigned by the Internal Revenue Service, and is eligible under the SBIR Program provided that the entity created qualifies as a "SBC" as defined in this section.

**Principal Investigator/Project Manager**

The one individual designated by the applicant to provide the scientific and technical direction to the project that will be supported by the funding agreement.

**Prototype**

A model of something to be further developed, which includes designs, protocols, questionnaires, software, and devices.

**Research or Research and Development (R/R&D)**

Any activity that is:

1. A systematic, intensive study directed toward greater knowledge or understanding of the subject studied;
2. A systematic study directed specifically toward applying new knowledge to meet a recognized need; or
3. A systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

**SBIR Technical Data**

Means all data generated in the performance of any SBIR funding agreement.

**SBIR Technical Data Rights**

The rights an SBC obtains in data generated in the performance of any SBIR funding agreement that an awardee delivers to the Government during or upon completion of a Federally-funded project, and to which the Government receives a license.

**Small Business Concern**

A concern that, on the date of award for both Phase I and Phase II funding agreements:

1. is organized for profit, with a place of business located in the United States, which operates primarily within the United States or which makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor;
2. is in the legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative, except that where the form is a joint venture (as defined in this section) there can be no more than 49 percent participation by foreign business entities in the joint venture;
3. is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States; and,
4. has, including its affiliates, not more than 500 employees.

**Socially and Economically Disadvantaged Individual**

A member of any of the following groups:

1. Black Americans;
2. Hispanic Americans;
3. Native Americans;
4. Asian Pacific Americans
5. Subcontinent Asian Americans;
6. Other groups designated from time to time by SBA to be socially disadvantaged; or any other individual found to be socially and economically disadvantaged by SBA pursuant to Section 8(a) of the Small Business Act, 15 U.S. C. 637(a).

**Subcontract**

Any agreement, other than one involving an employer/employee relationship, entered into by an awardee of a funding agreement calling for supplies or services required solely for the performance of the original funding agreement.

**United States**

Means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

**Woman-Owned Small Business Concern**

A small business concern that is at least 51 percent owned and operated by a woman or women who also control an operate it. "Control" in this context means exercising the power to make policy decisions. "Operate" in this context means being actively involved in the day-to-day management.

#### IV. GRANT APPLICATION PREPARATION INSTRUCTIONS AND REQUIREMENTS

##### A. Application Requirements

An application to OSERS/NIDRR under the SBIR program should present a sound approach to the investigation of an important education, technological, engineering or scientific question that it is worthy of support under the stated criteria of this program announcement.

An application should be self-contained and written with the care and thoroughness accorded to papers for publication. The applicant should review the program announcement carefully to ensure that information and data essential for evaluation are included. The scientific and technical merit of the proposed research is the primary concern for all research supported by OSERS. [NOTE: The number of points weighted to this area is contained in the "Evaluation Criteria – Section V(B)."]

The application's R/R&D must be responsive to the OSERS program objectives, but it should also serve as the base for technological innovation, new commercial products, processes or services that may benefit the public. Applications must be confined principally to advanced concepts in educational and assistive technologies, scientific or engineering research or research and development.

A firm must not propose market research, patent applications, or litigation. The research may be carried out through construction and evaluation of a laboratory prototype, where necessary.

**Applications primarily for the development of proven concepts toward commercialization or for market research should not be submitted because such efforts are considered the responsibility of the private sector.**

##### B. Protection of Information in Applications

It is ED policy to use information included in applications for evaluation purposes only, and to protect such information from unauthorized use or disclosure. While this policy does not require that the application bear a notice, protection can be assured only to the extent that the "Legend" specified in "Considerations" instructions for "Rights in Data Developed Under SBIR Funding Agreements" is applied to those data that constitute trade secrets or to other commercial or financial information that is confidential or privileged. Other information may be afforded protection to the extent permitted by law, but ED assumes no liability for use and disclosure of information to which the "Legend" has not been appropriately applied.

##### C. Limitations on Length of Application

This program announcement is designed to reduce the investment of time and money to small firms in preparing a formal application. Those who wish to respond should submit a SBIR Phase I application narrative of **no more than 25 pages**, excluding abstract/summary/certification, any documentation of prior multiple Phase II awards, if applicable, and required forms.

The application must be clear, readily legible, and conform to the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Single space all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch). Standard black type should be used to permit photocopying.
- Draw all graphs, diagrams, tables, and charts in black ink. Do not include glossy photographs, or materials that cannot be photocopied, in the body of the application.

**The Department will reject your application if--**

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

In the interest of equity to all applicants, **all information must be in the 25 pages.** No appendices, other than the exclusion cited above, may be submitted and, if submitted, they will not be considered in the review of the application for scientific and technical merit.

The application should be direct, concise, and informative. Promotional and other discussion not related to the project is discouraged. The application must be primarily directed at research or R&D on the specific priority chosen

#### **D. Phase I Application Guidance**

**To avoid any misunderstanding, applicants should be aware that applications not satisfying all the required instructions will be returned to the proposing organization without review.** Those applications may not be resubmitted with or without revision under this program announcement. All copies of the applications not accepted for evaluation will be returned.

1. **REQUIRED FORMS.** Complete all application forms listed in the e-Application. This includes:
  - **ED Standard Form 424**
    - Item 5 – List the Principal Investigator or Project Director
    - Item 10 – This program is not subject to the requirements of Executive Order 12372, Intergovernmental Review of Federal Programs.)
    - Item 12 – If “Yes” then applicants must complete all components for the narrative statement related to “Protection of Human Subjects in Research.” A supplemental section entitled “Human Subjects Narrative(s)” is provided in the electronic application for extensive responses.
    - Item 13 – List the Invitational Priority Number prior to the “Descriptive Title”
  - **ED Budget Form 524**
    - Include any profit/fee in Line 10 (Indirect Costs). Only columns “(a)” and “(f)” should be completed since the period of performance is for up to 6 months. The fee is not a “cost” and may be used by the small business concern for any purpose, including additional effort under the SBIR award. Therefore, the applicant should enter the request for profit/fee as a separate item in the narrative justification.
  - **SF 424B:** Assurances – Non-Construction Programs
  - **ED 80-0013:** Certifications Regarding Lobbying: Debarment, Suspension and Other Responsibility Matters, and Drug-Free Workplace Requirements
  - **ED 80-0014:** Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transaction
  - **SF LLL:** Disclosure of Lobbying Activities
2. **Project Narrative – ABSTRACT, CERTIFICATIONS, STATEMENTS, and LEGEND**
  - a) **ABSTRACT.** The applicant should provide an abstract with the following two components. Nothing in this section should be proprietary or confidential.

- (1) **Technical Abstract** of no more than 200 words.
- (2) **Summary of Anticipated Results** and **Potential Commercial Applications** of the research (for both Phases I and II).

- b) **CERTIFICATIONS.** The applicant should respond to the following certifications required by the Small Business Administration.

**Small Business Certification --**

Does the applicant certify that it is a SBC and meets the definition as stated in the program announcement or that it will meet that definition at the time of award?

☐ Yes ☐ No

[NOTE: The next three (3) items are for statistical purposes only.]

**Socially and Economically Disadvantaged SBC Certification --**

Do you qualify as a socially and economically disadvantaged SBC and meet the definition as stated in this program announcement?

☐ Yes ☐ No

**Woman-owned SBC Certification --**

Do you qualify as a woman-owned SBC and meet the definition as stated in this program announcement?

☐ Yes ☐ No

**HUBZone-owned SBC Certification --**

Do you qualify as a HUBZone-owned SBC and meet the definition as stated in this solicitation?

☐ Yes ☐ No

The website listed below contains information about the SBA's HUBZone program:  
<http://www.sba.gov/hubzone/>

- c) **STATEMENTS.** The applicant should respond to the following statements required by the Small Business Administration.

**Duplicate Research Statement --**

Has the applicant and/or Principal Investigator submitted applications/proposals for essentially equivalent work under other Federal program announcements or received other Federal awards for essentially equivalent work?

☐ Yes ☐ No

If yes, identify applications/proposals and/or awards in "Project Narrative – RELATED APPLICATION(S) or AWARD(S)."

**Disclosure Permission Statement –**

Will you permit the Government to disclose the title and technical abstract page of your proposed project, plus the name, address, and telephone number of the corporate official of your firm, if your application does not result in an award, to concerns that may be interested in contacting you for further information?

☐ Yes ☐ No

- d) **LEGEND for PROPRIETARY INFORMATION.** Information contained in unsuccessful applications will remain the property of the applicant. The Government may, however, retain copies of all applications. Public release of information in any application submitted will be subject to existing statutory and regulatory requirements.

If proprietary information provided by an applicant in an application, which constitutes a trade secret, proprietary commercial or financial information, confidential personal information, or data affecting the national security, it will be treated in confidence, to the extent permitted by law. This information **must** be clearly marked by the applicant with the term "**confidential proprietary information**" and the following **legend must** appear in this section of the application:

"These data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this application. If a funding agreement is awarded to this applicant as a result of or in connection with the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the funding agreement and pursuant to applicable law. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages \_\_\_\_\_ of this application."

Any other legend may be unacceptable to the Government and may constitute grounds for removing the application from further consideration, without assuming any liability for inadvertent disclosure. The Government will limit dissemination of such information to/within official channels.

### 3. **Project Narrative – TECHNICAL CONTENT**

The subcategories of this section directly correspond to the "Evaluation Criteria" listed in this Program Announcement.

#### a) **Significance:**

- i) Identification and Significance of the Problem or Opportunity. Make a clear statement of the specific research problem or opportunity addressed and why it is important.
- ii) Related Research or R&D. Describe significant research or R&D that is directly related to the application, including any conducted by the principal investigator or by the applicant's firm. Describe how it relates to the proposed effort, and describe any planned coordination with outside sources. The purpose of this section is to persuade reviewers of the applicant's awareness of key recent developments in the specific priority area.
- iii) Potential Commercial Applications/Anticipated Societal Benefits. Briefly describe whether and by what means the proposed research also appears to have potential commercial application(s) and/or societal benefit(s). Also describe briefly whether and by what means the proposed project appears to have potential use by the Federal Government (if, in fact, it does).

#### b) **Quality of the Project Design:**

- i) Phase I Technical Objectives. State the specific objectives of the Phase I research or R&D effort, including the technical questions it will try to answer to determine the feasibility of the proposed approach.
- ii) Relationship with Future R&D. Discuss the significance of the Phase I effort in providing a foundation for the Phase II R&D effort. Also state the anticipated results of the proposed approach if Phases I and II of the project are successful.

- iii) Phase I Work Plan. Include a detailed description of the Phase I research or R&D plan. The plan should indicate not only what will be done, but how the R&D will be carried out. Phase I research or R&D should address the objectives and the questions cited in 3 (b)(i) above. The methods planned to achieve each objective or task should be discussed in detail.

**THE “WORK PLAN” SHOULD BE AT LEAST ONE-THIRD OF THE APPLICATION.**

- iv) Human Subjects in Research. **If applicable**, include a brief narrative of human subject involvement. Projects involving research on human subjects will require grantee compliance with the Department of Education’s Protection of Human Subjects Regulations, 34 CFR Part 97. Copies of the Department of Education’s regulations for the Protection of Human Subjects are available from:

Grants Policy and Oversight Staff (GPOS)  
Office of the Chief Financial Officer  
Washington, DC 20202-4248  
(202) 708-8263

This information is also available on the ED website at:

<http://www.ed.gov/about/offices/list/ocfo/humansub.html>

For a quick overview, see in particular “Information About the Protection of Human Subjects in Research Supported by the Department -- Overview.”

Please give thorough consideration for the need of any human subject involvement in the Phase I feasibility work. All human subjects in research issues **MUST** be resolved prior to a grant award.

**Unless all the proposed human subjects research meets one or more of the regulation’s exemptions**, awardees involving human subjects will be requested to file an “Assurance of Compliance with the Regulations” and have the project’s research protocol reviewed and approved by an Institutional Review Board (IRB). The costs related to obtaining required Institutional Review Board reviews can be included as a direct cost, provided the costs are necessary and reasonable.

**YOU DO NOT NEED AN ASSURANCE OR IRB APPROVAL AS A CONDITION OF APPLYING FOR THIS AWARD.**

- v. Protection of Pupil Rights Amendment (PPRA). This grant is subject to the Protection of Pupil Rights Amendment (PPRA), 20 U.S.C. 1232h, 34 CFR Part 98. PPRA is a law that governs the administration of certain Department-funded surveys. The law provides that a school district must obtain the prior written consent of a parent if the district “requires” a student to take a survey, i.e., the survey is not voluntary. In addition, the PPRA only applies to a survey if the survey asks certain types of questions (e.g., questions that reveal information about illegal behavior, psychological problems potentially embarrassing to the student, or sex behavior and attitudes). Grantees should be aware of the requirements of PPRA if they plan to use Departmental funds to develop surveys for elementary or secondary school students.

For additional information or technical assistance, you may call (202) 260-3887 (voice). Individuals who use TDD may call the Federal Information Relay Service at 1-800-877-8339. Or you may contact us at the following address:

Family Policy Compliance Office -- U.S. Department of Education  
400 Maryland Avenue, SW -- Washington, D.C. 20202-4605

Information is also available on the ED website at:

<http://www.ed.gov/policy/gen/guid/fpc/index.html>

c) **Quality of Project Personnel:**

- i) Key Personnel and Bibliography of Directly Related Work. Identify key personnel involved in Phase I, including their education and directly related experience, or writings. Where vitae are extensive, summaries that focus on the most relevant experience or publications are desired. Such summaries may be necessary to meet the application size limitation. Also list all other commitments that senior personnel have during the proposed period of performance.
- ii) Consultants. Involvement of consultants in the planning and research stages of the project is permitted. If such involvement is intended, it should be described in detail. [NOTE: See "Considerations" section for "Subcontracting Limits."]

d) **Adequacy of Resources:**

- i. Facilities and Equipment:  
The conduct of advanced research may require the use of sophisticated instrumentation or computer facilities. The applicant should provide a detailed description of the availability and location of the facilities and equipment necessary to carry out Phase I.
- ii. Budget:  
Use Budget Summary form (ED Form 524), to present a complete budget summary for the proposed project dates. Questions pertaining to this area can be discussed with the Grants Management Contacts listed in the "Contacts" section.
- Please provide a justification for this budget by including a detailed narrative description for each budget line item.

The SBA has stated that SBIR funding agencies are to provide for a **reasonable** fee or profit on SBIR funding agreements, including grants, **consistent with normal profit margins provided to profit-making firms for R/R&D work** (SBIR "Policy Directive").

4. **Project Narrative – RELATED APPLICATION(S) or AWARD(S).**

If an applicant elects to submit identical applications or applications containing a significant amount of essentially equivalent work under other Federal program announcements, **a statement must be included** in this application indicating:

- a) The name and address of agencies to which application(s) was/were submitted or from which SBIR award(s) was/were received.
- b) The date(s) of application submission and date(s) of award.
- c) The title, number and date of SBIR program announcement under which application(s) was/were submitted or award(s) received.
- d) The applicable research priority in the program announcement for each SBIR application submitted or award received.

- e) The titles of research projects.
- f) The name and title of the principal investigator for each application submitted or award received.

**WARNING**

**While it is permissible, with application notification, to submit identical or essentially equivalent applications for consideration under numerous Federal program announcements, it is unlawful to enter into funding agreements requiring essentially equivalent effort. If there is any question concerning this issue, it must be disclosed to the soliciting agency or agencies before award.**

5. **Project Narrative – DOCUMENTATION OF MULTIPLE PHASE II AWARDS.** A small business concern that submits a Phase I application and has received more than 15 Phase II SBIR awards, as totaled from all Federal agencies with SBIR programs, during the preceding 5 fiscal years, **must** submit the following information for each Phase II award:

- the name of the awarding agency,
- the date of the award,
- the funding agreement number and award amount,
- the priority/topic or subtitle,
- the amount of the follow-on funding commitment, the source and the date of the commitment, and the current commercialization status.

[This required information **will not be** counted toward the application limitation of 25 pages.]

#### **E. DUNS Number Instructions**

Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

## V. METHOD OF SELECTION AND EVALUATION CRITERIA

### A. Introduction

Phase I applications will be judged on a competitive basis.

1. All applications will be **screened** to confirm that the required instructions were completed. Those applications not satisfying all the required instructions will be returned to the proposing organization without review.
2. Persons who are experts in the priority areas will evaluate applications meeting those requirements. Reviewers will include people outside the Federal Government. Each application will be judged on its own merit, according to the review criteria described below.

**The Department of Education will make awards based upon these evaluation criteria and the availability of funds.** In the evaluation and handling of applications, the Department will make every effort to protect the confidentiality of the application and any evaluations.

### B. Evaluation Criteria for Phase I

The Secretary selects the following selection criteria in 34 CFR 75.210 to evaluate applications for new grants under this competition. The criteria below will receive the following weights. The maximum score for all of these criteria is 100 points. The weight for each criterion is indicated in parentheses. The Department of Education will make awards based upon these evaluation criteria and the availability of funds.

#### 1. **Significance (25 points)**

- (10 points) The significance of the problem or issue to be addressed by the proposed project.
- (10 points) The likely utility of the products that will result from the proposed project, including the potential for their being used effectively in a variety of other settings.
- (5 points) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

#### 2. **Quality of the Project Design (50 points)**

- (10 points) The extent to which the goals, objectives and outcomes to be achieved by the proposed project are clearly specified and measurable.
- (10 points) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.
- (10 points) The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework.
- (10 points) The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives.
- (5 points) The quality of the methodology to be employed in the proposed project.
- (5 points) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.

**3. Quality of Project Personnel (15 points)**

- (5 points) The qualifications, including relevant training and experience, of the project director or principal investigator.
- (5 points) The qualifications, including relevant training and experience, of key project personnel.
- (5 points) The qualifications, including relevant training and experience, of project consultants or subcontractors.

**4. Adequacy of Resources (10 points)**

- (4 points) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.
- (2 points) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
- (2 points) The extent to which the budget is adequate to support the proposed project.
- (2 points) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

**C. Release of Grant Application Review Information**

**After final award decisions are made the Principal Investigator will be sent the technical evaluations.** No one other than the Principal Investigator (and appropriate ED staff) may receive the technical evaluations.

Applicants normally receive their evaluations within six to eight weeks following the announcement of the awards. The identity of the reviewers will not be disclosed.

## VI. CONSIDERATIONS

### A. Reports

A final Phase I “Performance Report” **must** be submitted to the assigned Education Program Officer upon completion of the Phase I work. The report should identify the purpose of the research, and include a brief description of the research carried out, the research findings or results, and the potential applications of the research. **This project summary is to be submitted without restriction on publication and may be published by ED.** The performance report should include performance and financial expenditure information as required by the awarding Program Office.

### B. Government Performance and Results Act

The Government Performance and Results Act (GPRA) of 1993 places new management expectations and requirements on Federal departments and agencies by creating a framework for more effective planning, budgeting, program evaluation, and fiscal accountability for Federal programs. The intent of the Act is to improve public confidence by holding departments and agencies accountable for achieving program results. Departments and agencies should clearly describe the goals and objectives of their programs, identify resources and actions needed to accomplish these goals and objectives, develop a means of measuring progress made, and regularly report on their achievement.

The purpose of the SBIR program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation. Grantees are required to report on the progress of their work throughout the award period and submit final reports to the U.S. Department of Education.

### C. Innovations, Inventions and Patents

#### 1. **Rights in Data Developed Under SBIR Funding Agreements**

To preserve the SBIR data rights of the awardee, the Legend (or statements) used in the SBIR Data Rights clause included in the SBIR award must be affixed to any submissions of technical data developed under that SBIR award. If no Data Rights clause is included in the SBIR award, the following legend, at a minimum, should be affixed to any data submissions under that award.

#### **LEGEND**

These SBIR data are furnished with SBIR rights under Funding Agreement No. \_\_\_\_\_ (and subcontract No. \_\_\_\_\_ if appropriate), Awardee Name \_\_\_\_\_, Address, Expiration Period of SBIR Data Rights \_\_\_\_\_. The Government may not use, modify, reproduce, release, perform, display, or disclose technical data or computer software marked with this legend for (choose four (4) or five (5) years). After expiration of the (4- or 5-year period), the Government has a royalty-free license to use, and to authorize others to use on its behalf, these data for Government purposes, and is relieved of all disclosure prohibitions and assumes no liability for unauthorized use of these data by third parties, except that any such data that is also protected and referenced under a subsequent SBIR award shall remain protected through the protection period of that subsequent SBIR award. Reproductions of these data or software must include this legend.”

## **2. Copyrights**

With prior written permission of the Education Program Contact, the awardee normally may copyright and publish (consistent with appropriate national security considerations, if any) material developed with ED support. The Department of Education receives a royalty-free license for the Federal Government and requires that each publication contain an appropriate acknowledgment and disclaimer statement.

## **3. Patents**

Small business firms normally may retain the principal worldwide patent rights to any invention developed with Government support. The Government receives a royalty-free license for Federal Government use, reserves the right to require the patent holder to license others in certain circumstances, and requires that anyone exclusively licensed to sell the invention in the United States must normally manufacture it domestically. To the extent authorized by 35 U.S.C. 205, the Government will not make public any information disclosing a Government-supported invention for a 4 year period (that may be extended by subsequent SBIR funding agreements) to allow the awardee a reasonable time to pursue a patent.

### **D. Subcontracting Limits – Research and Analytical Work**

For **Phase I**, at least **two-thirds** of the research and/or analytic effort must be performed by the proposing small business concern unless otherwise approved in writing by the funding agreement officer after consultation with the agency SBIR Program Manager/Coordinator.

For **Phase II**, at least **one-half** of the research and/or analytic effort must be performed by the proposing small business concern unless otherwise approved in writing by the funding agreement officer after consultation with the agency SBIR Program Manager/Coordinator.

### **E. Joint Ventures or Limited Partnerships**

Joint ventures and limited partnerships are permitted provided that the entity created qualifies as a small business concern as defined in this program announcement.

### **F. Cost-Sharing**

Cost-sharing is permitted for applications under this program announcement; however, cost sharing is not required. Cost-sharing will not be an evaluation factor in consideration of your Phase I application.

### **G. Profit/Fee**

Both Phase I and Phase II grants may include a reasonable fee or profit on SBIR funding agreements, consistent with normal profit margins provided to profit-making firms for R/R&D work.

### **H. American Made Equipment and Products**

When purchasing equipment or a product under the SBIR funding agreement, purchase only American-made items whenever possible.

**I. Standard Terms and Conditions**

Upon acceptance of an award, the grantee must comply with the terms and conditions contained or referenced in the Notice of Award document. These terms and conditions, constituting legal requirements, are imposed on an awardee by statute, regulations, administrative policy, or the award document itself.

**J. Additional Information**

1. This program announcement is intended for informational purposes and reflects current planning. If there is an inconsistency between the information contained herein and the terms of any resulting SBIR funding agreement, then the terms of the funding agreement are controlling.
2. In the interests of those with special needs, the applicant is encouraged to develop products that include alternate formats (e.g., closed- or open-captioning for films and/or videotapes, Braille, large print, audiotape).
3. The SBIR program is not a substitute for existing unsolicited application mechanisms. The Government shall not accept unsolicited applications under the SBIR program in either Phase I or Phase II.
4. If an award is made pursuant to an application submitted under this program announcement, the grantee will be required to certify that he or she has not previously been, nor is currently being, paid for essentially equivalent work by any agency of the Federal Government.

## VII. APPLICATION TRANSMITTAL INSTRUCTIONS

We are requiring that applications to the FY 2004 Phase I **Small Business Innovation Research (SBIR)** program be submitted electronically using **e-Application** available through the Education Department's **e-GRANTS system**. The e-GRANTS system is accessible through its portal page at:

<http://e-grants.ed.gov/>

**Waiver.** Applicants who are unable to submit an application through the e-GRANTS system may apply for a waiver to the electronic submission requirement. To apply for a waiver, applicants must explain the reason(s) that prevent them from using the Internet to submit their applications. The reasons(s) must be outlined in a letter addressed to the specific "Program Office Contact" (see "Contacts") listed for your application's CFDA number. We must receive your letter no later than two weeks before the closing date. See the information below.

Any application that receives a waiver to the electronic submission requirement will be given the same consideration in the review process as an electronic application.

**Application Procedures:** The Government Paperwork Elimination Act (GPEA) of 1998 (Pub. L. 105-277) and the Federal Financial Assistance Management Improvement Act of 1999 (Pub. L. 106-107) encourage us to undertake initiatives to improve our grant processes. Enhancing the ability of individuals and entities to conduct business with us electronically is a major part of our response to these Acts. Therefore, we are taking steps to adopt the Internet as our chief means of conducting transactions in order to improve services to our customers and to simplify and expedite our business processes.

Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553), the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

We are requiring that applications for grants under the Small Business Innovative Research Program--CFDA Number 84.133S-1 be submitted electronically using the Electronic Grant Application System (e-Application) available through the Department's e-GRANTS system. The e-GRANTS system is accessible through its portal page at: <http://e-grants.ed.gov>

If you are unable to submit an application through the e-GRANTS system, you may submit a written request for a waiver of the electronic submission requirement. In your request, you should explain the reason or reasons that prevent you from using the Internet to submit your application. Address your request to: Carol Cohen, U.S. Department of Education, 400 Maryland Avenue SW, room 3420, Switzer Building, Washington, DC 20202-2704. Please submit your request no later than two weeks before the application deadline date.

If, within two weeks of the application deadline date, you are unable to submit an application electronically, you must submit a paper application by the application deadline date in accordance with the transmittal instructions in the application package. The paper application must include a written request for a waiver documenting the reasons that prevented you from using the Internet to submit your application.

**Pilot Project for Electronic Submission of Applications:**

We are continuing to expand our pilot project for electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. The Small Business Innovative Research Program--CFDA Number 84.133S-1 is one of the programs included

in the pilot project. If you are an applicant under the Small Business Innovative Research Program, you must submit your application to us in electronic format or receive a waiver.

The pilot project involves the use of e-Application. If you use e-Application, you will be entering data online while completing your application. You may not e-mail an electronic copy of a grant application to us. The data you enter online will be saved into a database. We shall continue to evaluate the success of e-Application and solicit suggestions for its improvement.

If you participate in e-Application, please note the following:

- When you enter the e-Application system, you will find information about its hours of operation. We strongly recommend that you do not wait until the application deadline date to initiate an e-Application package.
- You will not receive additional point value because you submit a grant application in electronic format, nor will we penalize you if you submit an application in paper format.
- You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- Your e-Application must comply with any page limit requirements and content restrictions described in this notice.
- After you electronically submit your application, you will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).
- Within three working days after submitting your electronic application, fax a signed copy of the Application for Federal Education Assistance (ED 424) to the Application Control Center after following these steps:
  1. Print ED 424 from e-Application.
  2. The institution's Authorizing Representative must sign this form.
  3. Place the PR/Award number in the upper right hand corner of the hard copy signature page of the ED 424.
  4. Fax the signed ED 424 to the Application Control Center at (202) 260-1349.
- We may request that you give us original signatures on other forms at a later date.

**Application Deadline Date Extension in Case of System Unavailability:** If you are prevented from submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

1. You are a registered user of e-Application and you have initiated an e-Application for this competition; and
2. (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or  
(b) The e-Application system is unavailable for any period of time during the last hour of operation (that is, for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time) on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-GRANTS help desk at 1-888-336-8930.

You may access the electronic grant application for the Phase I Small Business Innovative Research Program at: <http://e-grants.ed.gov>

**Supplemental Paper Submittal.** If you submit your application electronically by the transmittal date but also wish to submit a paper copy of your application, then you must mail the paper copy of the application on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
7th and D Streets, SW., Room 3671  
Regional Office Building 3  
Washington, DC 20202-4725  
Attention: CFDA 84.133S-1 - SBIR Phase I

**Help Desk.** You will have access to the e-Application Help Desk for technical support: 1-888-336-8930 (TTY: 1-866-697-2696, local 202-401-8363). The Help Desk hours of operation are limited to: 8 a.m. to 6 p.m. Washington, DC time Monday through Friday.

1. If you have received a waiver, application must be postmarked by the closing date of **JUNE 1, 2004**. If sending by courier service (i.e., Fed X, UPS, Postal Express), please hand deliver between 8:00 a.m. and 4:30 p.m., to the following address: U.S. Department of Education, Application Control Center, Room 3671, Regional Office Building (ROB-3), 7<sup>th</sup> and D Streets, S.W., Washington, D.C. 20202-4725. Attn: CFDA 84.133S-1, SBIR Phase I. The phone number in ACC to list for express mail is 202-708-9493. We would appreciate an original and 8 copies.
2. Electronic copies (soft copy) of your application should not be emailed to the Department, if submitting electronically. If you are submitting by mail, you can include an electronic copy (disk) with your application.
3. E-applications – we strongly suggest: (1) Read the instructions carefully; (2) Do not wait until close to the due date to set up your E-application; (3) Print out the application before sending the final version to ensure that all information has been uploaded correctly and completely; (4) Remember that the system and help desk are not open 24 hours/7 days a week; (5) If you need to send your appendices by paper read the section below in Appendices; (6) Keep the original Federal Assistance Face page, if you are a successful applicant, we will be asking you to send in the signed forms.
4. Remember to click on the SEND button by the closing date, if you are submitting electronically. If you have deselected to make a change – be sure to click the SEND button

**E-Applications due date is JUNE 1, 2004.**

**The E-Application system WILL NOT be available on Sunday, May 30<sup>th</sup> and Monday, May 31<sup>st</sup>.**

## **VIII. PRIORITIES**

For fiscal year 2004, there is one priority (with four invitational priorities) proposed by the **Office of Special Education and Rehabilitative Services (OSERS)** under CFDA Number 84.133S with awards up to \$75,000.

SBIR projects are encouraged to look to the future by exploring uses of technology to ensure equal access to education and promote educational excellence throughout the nation.

This application package includes a number of examples to illustrate the kinds of activities that could be funded under the priority. **Specific examples are listed only as examples of advanced applications or research of interest.** It is OSERS's intention to provide sufficient flexibility to obtain the greatest degree of creativity and innovation possible, consistent with overall SBIR and OSERS's program objectives.

### **PRIORITY 1**

This priority supports research to develop methods, procedures, and rehabilitation technology that maximize the full inclusion and integration into society, employment, independent living, family and community support, and to promote economic and self-sufficiency of individuals with disabilities, especially individuals with the most significant disabilities; and improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended.

The following **four invitational priorities** relate to innovative research utilizing new technologies (including nanotechnologies and biotechnologies) to address the needs of individuals with disabilities and their families. We are particularly interested in applications that meet one of the following priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets one of these priorities a competitive or absolute preference over other applications.

#### **Invitational Priority 1.**

**Development of Technology to Support Access, Promote Integration or Foster Independence of Individuals with Disabilities in the Community, Workplace, or Educational Setting.**

#### **Invitational Priority 2.**

**Development of Technology to Enhance Sensory or Motor Function of Individuals with Disabilities.**

#### **Invitational Priority 3.**

**Development of Technology to Support Transition into Post-secondary Educational or Employment Settings for Individuals with Disabilities.**

#### **Invitational Priority 4.**

**Development of technology that incorporates universal design principles and promotes access to information in educational, employment and community settings.**

## IX. SCIENTIFIC AND TECHNICAL INFORMATION SOURCES

Certain sources can provide information that can be useful in preparing SBIR applications. The Internet sites listed below can provide you with helpful material and links to other sites.

### **SBIR Program-Related**

SBIR State Support Entities  
(historical information) <http://www.ed.gov/programs/sbir/index.html>

Small Business Administration (SBA)  
Office of Technology (SBIR) [www.sba.gov/sbir/](http://www.sba.gov/sbir/)

### **Office of Special Education and Rehabilitative Services (OSERS)**

OSERS Home Page [www.ed.gov/offices/OSERS/](http://www.ed.gov/offices/OSERS/)

National Institute on Disability  
and Rehabilitation Research <http://www.ed.gov/about/offices/list/osers/nidrr/index.html>

National Center for the Dissemination  
of Disability Research [www.ncddr.org/](http://www.ncddr.org/)

### **General**

U.S. Department of Education <http://www.ed.gov/>

Education Department General  
Administrative Regulations (EDGAR) <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

U.S. Department of Education  
e-Grants System [e-grants.ed.gov/egWelcome.asp](http://e-grants.ed.gov/egWelcome.asp)

U.S. Department of Education  
Grant Application and Other Forms <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

U.S. Department of Education  
Technology Initiatives <http://www.ed.gov/about/offices/list/os/technology/index.html>

Educational Resources Information Center <http://www.eric.ed.gov/resources/index.html>

Small Business Administration (SBA)  
Technical Resources Network (TECH-Net) [tech-net.sba.gov/](http://tech-net.sba.gov/)



## GRANT APPLICATION PACKAGE CHECKLIST

**CLOSING DATE: JUNE 1, 2004**

### CHECK:

- ☐ Have you prepared the application according to the “**type size**” and “**format**” standards that must be observed throughout the application?
- ☐ Does the application contain **no more than 25 pages, excluding** any documentation of prior multiple Phase II awards, if applicable; and, required forms?
- ☐ Has the **ED Standard Form 424** been completed according to the instructions?
- ☐ Are issues (and, if applicable, exemptions) relating to **Research Activities Involving Human Subjects** adequately addressed in item 12 of the **ED Standard Form 424**?
- ☐ Has the **Budget Summary Form (ED Form 524)**, been completed according to the instructions?
- ☐ Have you included all the required components of the “**Project Narrative -- ABSTRACT**” section?
  - Abstracts;
  - Certifications;
  - Statements; and,
  - Legend
- ☐ Have you addressed each of the components of the “**Project Narrative – TECHNICAL CONTENT**” section? Including –
  - Significance;
  - Quality of Project Design;
  - Quality of Project Personnel; and,
  - Adequacy of Resources
- ☐ Is the Phase I “Work Plan” at least one-third of the application?
- ☐ Have you provided notification of “**Related Application(s) or Award(s)**” and “**Documentation of Multiple Phase II Awards,**” if applicable?

**The E-Application system WILL NOT be available on  
Sunday, May 30<sup>th</sup> and Monday, May 31<sup>st</sup>.**

4000-01-U

DEPARTMENT OF EDUCATION

Office of Special Education and Rehabilitative Services

Overview Information

National Institute on Disability and Rehabilitation Research

(NIDRR)--Small Business Innovative Research Program (SBIR)

Notice inviting applications for new awards for fiscal year (FY)  
2004.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.133S-1

Dates:

Applications Available: March 30, 2004.

Deadline for Notice of Intent to Apply: April 30, 2004.

Deadline for Transmittal of Applications: June 1, 2004

Eligible Applicants: Small business concerns as defined by the  
Small Business Administration (SBA) at the time of the award. This  
definition is included in the application package.

All technology, science, or engineering firms with strong  
research capabilities in any of the priority areas listed in this  
notice are encouraged to participate.

Consultative or other arrangements between these firms and  
universities or other non-profit organizations are permitted, but  
the small business concern must serve as the grantee.

If it appears that an applicant organization does not meet the  
eligibility requirements, we will request an evaluation by the SBA.

Under circumstances in which eligibility is unclear, we will not make a SBIR award until the SBA makes a determination.

Estimated Available Funds: \$1,125,000 for new Phase I awards.

Note: The estimated amount of funds available for new Phase I awards is based upon the estimated threshold SBIR allocation for OSERS, less prior commitments for Phase II continuation awards.

Estimated Average Size of Awards: \$75,000.

Maximum Award: We will reject any application that proposes a budget exceeding \$75,000 for a single budget period of 6 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

Note: Maximum award amount includes direct and indirect costs and fee.

Estimated Number of Awards: 15.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 6 months for Phase I.

Full Text of Announcement

#### I. Funding Opportunity Description

Purpose of Program: The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on

investment from Federally funded research for economic and social benefits to the Nation.

Note: NIDRR supports the goals of President Bush's New Freedom Initiative (NFI). The NFI can be accessed on the Internet at the following site:

<http://www.whitehouse.gov/news/freedominitiative/freedominitiative.html>

The goals of the SBIR program are in concert with NIDRR's 1999-2003 Long-Range Plan (Plan). The Plan can be accessed on the Internet at the following site:

<http://www.ed.gov/rschstat/research/pubs/index.html>

Through the implementation of the NFI and the Plan, NIDRR seeks to -- (1) improve the quality and utility of disability and rehabilitation research; (2) foster an exchange of expertise, information, and training to facilitate the advancement of knowledge and understanding of the unique needs of traditionally underserved populations; (3) determine best strategies and programs to improve rehabilitation outcomes for underserved populations; (4) identify research gaps; (5) identify mechanisms of integrating research and practice; and (6) disseminate findings.

### Background

The Small Business Reauthorization Act (Act) of 2000 was enacted on December 21, 2000. The Act requires certain agencies, including the Department, to establish SBIR programs by reserving a statutory

percentage of their extramural research and development budgets to be awarded to small business concerns for research or research and development (R/R&D) through a uniform, highly competitive three-phase process.

The three phases of the SBIR program are:

Phase I: Phase I is to determine, insofar as possible, the scientific or technical merit and feasibility of ideas submitted under the SBIR program. The application should concentrate on research that will significantly contribute to proving the scientific or technical feasibility of the approach or concept and that would be prerequisite to further Department support in Phase II.

Phase II: Phase II is to expand on the results of and to further pursue the development of Phase I projects. Phase II is the principal R/R&D effort. It requires a more comprehensive application, outlining the effort in detail including the commercial potential. Phase II applicants must be Phase I awardees with approaches that appear sufficiently promising as a result of Phase I. Awards are for periods of up to 2 years in amounts up to \$500,000.

Phase III: In Phase III, the small business must use non-SBIR capital to pursue commercial applications of the R/R&D. Also, under Phase III, Federal agencies may award non-SBIR follow-on funding for products or processes that meet the needs of those agencies.

Priorities: SBIR projects are encouraged to look to the future by exploring uses of technology to ensure equal access to education,

employment, and community environments and information. Under this competition we are particularly interested in applications that address one of the following priorities.

Invitational Priorities: For FY 2004 these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets one of these invitational priorities a competitive or absolute preference over other applications. The invitational priorities relate to innovative research utilizing new technologies to address the needs of individuals with disabilities and their families.

These priorities are:

(1) Development of technology to support access, promote integration, or foster independence of individuals with disabilities in the community, workplace, or educational setting.

(2) Development of technology to enhance sensory or motor function of individuals with disabilities.

(3) Development of technology to support transition into post-secondary educational or employment settings for individuals with disabilities.

(4) Development of technology that promotes access to information in educational, employment and community settings.

Each applicant should describe the approaches they expect to use to collect empirical evidence that demonstrates the

effectiveness of the technology they are proposing in an effort to assess the efficacy and usefulness of the technology.

Note: New technologies must adhere to universal design principles and Guidelines for More Accessible Design. Universal design is defined as "the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design" (The Center for Universal Design, 1997. The Principles of Universal Design, Version 2.0. Raleigh, NC: North Carolina State University. Web: [www.design.ncsu.edu](http://www.design.ncsu.edu))

Accessible design of consumer products will seek to minimize or alleviate barriers that reduce the ability of individuals with disabilities to effectively or safely use standard consumer products (For more information see--

[http://www.trace.wisc.edu/docs/consumer\\_product\\_guidelines/consumer.pcs/disabil.htm](http://www.trace.wisc.edu/docs/consumer_product_guidelines/consumer.pcs/disabil.htm))

Program Authority: The Small Business Reauthorization Act of 2000, Pub. L. 106-554 (15 U.S.C. 631 and 638) and title II of the Rehabilitation Act of 1973, as amended, Pub. L. 105-220 (29 U.S.C. 760-764).

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 81, 82, 84, 85, 97, 98 and 99.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$1,125,000 for new Phase I awards.

Note: The estimated amount of funds available for new Phase I awards is based upon the estimated threshold SBIR allocation for OSERS, minus prior commitments for Phase II continuation awards.

Estimated Average Size of Awards: \$75,000.

Maximum Award: We will reject any application that proposes a budget exceeding \$75,000 for a single budget period of 6 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

Note: Maximum award amount includes direct and indirect costs and fee.

Estimated Number of Awards: 15.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 6 months for Phase I.

### III. Eligibility Information

1. Eligible Applicants: Small business concerns as defined by the SBA at the time of the award. This definition is included in the application package.

All technology, science, or engineering firms with strong research capabilities in any of the priority areas listed in this notice are encouraged to participate. Consultative or other arrangements between these firms and universities or other non-

profit organizations are permitted, but the small business concern must serve as the grantee.

If it appears that an applicant organization does not meet the eligibility requirements, we will request an evaluation by the SBA. Under circumstances in which eligibility is unclear, we will not make a SBIR award until the SBA makes a determination.

2. Cost Sharing or Matching: This program does not involve cost sharing or matching.

#### IV. Application and Submission Information

1. Address to Request Application Package: You may obtain an application package via Internet or from the ED Publications Center (ED Pubs). To obtain a copy via Internet use the following address: <http://www.ed.gov/fund/grant/apply/grantapps/index.html> To obtain from ED Pubs, write or call the following: ED Pubs P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site: [www.ed.gov/pubs/edpubs.html](http://www.ed.gov/pubs/edpubs.html) or you may contact ED Pubs at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.133S-1.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed under section VII of this notice.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Notice of Intent to Apply: Due to the open nature of the SBIR competition, and to assist with the selection of reviewers for this competition, NIDRR is requiring all potential applicants to submit a Letter of Intent (LOI). While the submission is mandatory, the content of the LOI will not be peer reviewed or otherwise used to rate an applicant's application. We will notify only those potential applicants who have failed to submit an LOI that meets the requirements listed below.

Each LOI should be limited to a maximum of four pages and include the following information: (1) the title of the proposed project, which invitational priority will be addressed, the name of the company, the name of the Project Director or Principal Investigator (PI), and the names of partner institutions and entities; (2) a brief statement of the vision, goals, and objectives of the proposed project and a description of its activities at a sufficient level of detail to allow NIDRR to select potential peer reviewers; (3) a list

of proposed project staff including the Project Director or PI and key personnel; (4) a list of individuals whose selection as a peer reviewer might constitute a conflict of interest due to involvement in proposal development, selection as an advisory board member, co-PI relationships, etc.; and (5) contact information for the Project Director or PI. Submission of a LOI is a prerequisite for eligibility to submit an application.

NIDRR will accept a LOI via surface mail, e-mail, or facsimile by APRIL 30, 2004. If a LOI is submitted via e-mail or facsimile, the applicant must also provide NIDRR with the original signed LOI within seven days after the date the e-mail or facsimile is submitted. The LOI must be sent to: Surface mail: Carol Cohen, U.S. Department of Education, 400 Maryland Avenue, SW., room 3420, Switzer Building, Washington, DC 20202-2645; or fax (202) 205-8515; or e-mail: carol.cohen@ed.gov

For further information regarding the LOI requirement contact Carol Cohen at (202) 205-5666.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit Part III to the equivalent of no more than 25 pages, excluding any documentation of prior multiple Phase II awards, if applicable, and required forms, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

- Single space all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch). Standard black type should be used to permit photocopying.

- Draw all graphs, diagrams, tables, and charts in black ink. Do not include glossy photographs or materials that cannot be photocopied in the body of the application.

The page limit does not apply to the budget section, including the narrative budget justification; the one-page abstract; the resumes; the bibliography; the letters of support; certifications; statements; related application(s) or award(s); or documentation of multiple Phase II awards, if applicable.

The application package will provide instructions for completing all components to be included in the application. Each application must include a cover sheet (ED Standard Form 424); budget requirements (ED Form 524) and other required forms; an abstract, certifications, and statements; a technical content project narrative (subject to page limits); and related application(s) or award(s) and documentation of multiple Phase II awards, if applicable.

We will reject your application if--

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

3. Content Restrictions: If an applicant chooses to respond to the invitational priorities and an application is relevant to more than one priority, the applicant must decide which priority is most relevant to the application and submit the application under that priority only. There is no limitation on the number of different applications that an applicant may submit under this competition. An applicant may submit separate applications on different topics, or different applications on the same priority. However, each application must respond to only one priority.

4. Submission Dates and Times:

Applications Available: March 30, 2004.

Deadline for Notice of Intent to Apply: April 30, 2004.

Deadline for Transmittal of Applications: June 1, 2004.

The dates and times for the transmittal of applications by mail or by hand (including a courier service or commercial carrier) are in the application package for this competition. The application package also specifies the hours of operation of the e-Application Web site.

We do not consider an application that does not comply with the deadline requirements.

4. Intergovernmental Review: This program is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Instructions and requirements for the transmittal of applications by mail or by hand (including a courier service or commercial carrier) are in the application package for this program.

Application Procedures: The Government Paperwork Elimination Act (GPEA) of 1998 (Pub. L. 105-277) and the Federal Financial Assistance Management Improvement Act of 1999 (Pub. L. 106-107) encourage us to undertake initiatives to improve our grant processes. Enhancing the ability of individuals and entities to conduct business with us electronically is a major part of our response to these Acts. Therefore, we are taking steps to adopt the Internet as our chief means of conducting transactions in order to improve services to our customers and to simplify and expedite our business processes.

Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553), the Department generally offers interested parties the opportunity to comment on

proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy.

Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

We are requiring that applications for grants under the Small Business Innovative Research Program--CFDA Number 84.133S-1 be submitted electronically using the Electronic Grant Application System (e-Application) available through the Department's e-GRANTS system. The e-GRANTS system is accessible through its portal page at: <http://e-grants.ed.gov>

If you are unable to submit an application through the e-GRANTS system, you may submit a written request for a waiver of the electronic submission requirement. In your request, you should explain the reason or reasons that prevent you from using the Internet to submit your application. Address your request to: Carol Cohen, U.S. Department of Education, 400 Maryland Avenue SW, room 3420, Switzer Building, Washington, DC 20202-2704. Please submit your request no later than two weeks before the application deadline date.

If, within two weeks of the application deadline date, you are unable to submit an application electronically, you must submit a paper application by the application deadline date in accordance with the transmittal instructions in the application package. The paper application must include a written request for a waiver

documenting the reasons that prevented you from using the Internet to submit your application.

#### Pilot Project for Electronic Submission of Applications:

We are continuing to expand our pilot project for electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. The Small Business Innovative Research Program--CFDA Number 84.133S-1 is one of the programs included in the pilot project. If you are an applicant under the Small Business Innovative Research Program, you must submit your application to us in electronic format or receive a waiver.

The pilot project involves the use of e-Application. If you use e-Application, you will be entering data online while completing your application. You may not e-mail an electronic copy of a grant application to us. The data you enter online will be saved into a database. We shall continue to evaluate the success of e-Application and solicit suggestions for its improvement.

If you participate in e-Application, please note the following:

- When you enter the e-Application system, you will find information about its hours of operation. We strongly recommend that you do not wait until the application deadline date to initiate an e-Application package.

- You will not receive additional point value because you submit a grant application in electronic format, nor will we penalize you if you submit an application in paper format.

- You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Your e-Application must comply with any page limit requirements and content restrictions described in this notice.

- After you electronically submit your application, you will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the Application for Federal Education Assistance (ED 424) to the Application Control Center after following these steps:

5. Print ED 424 from e-Application.

6. The institution's Authorizing Representative must sign this form.

7. Place the PR/Award number in the upper right hand corner of the hard copy signature page of the ED 424.

8. Fax the signed ED 424 to the Application Control Center at (202) 260-1349.

- We may request that you give us original signatures on other forms at a later date.

#### Application Deadline Date Extension in Case of System

Unavailability: If you are prevented from submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

1. You are a registered user of e-Application and you have initiated an e-Application for this competition; and

2. (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

- (b) The e-Application system is unavailable for any period of time during the last hour of operation (that is, for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time) on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-GRANTS help desk at 1-888-336-8930.

You may access the electronic grant application for the Small Business Innovative Research Program at: <http://e-grants.ed.gov>

#### V. Application Review Information

Selection Criteria: The selection criteria for this competition are in 34 CFR 75.210 of EDGAR. The specific selection criteria to be used for this competition are in the application package.

#### VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements:

We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118.

Note: NIDRR will provide information by letter to grantees on how and when to submit the report.

4. Performance Measures: To evaluate the overall success of its research program, NIDRR assesses the quality of its funded projects through review of grantee performance and products. Each year, NIDRR examines, through expert peer review, a portion of its grantees to determine:

- The degree to which the grantees are conducting high-quality research, as reflected in the appropriateness of study designs, the rigor with which accepted standards of scientific and engineering methods are applied, and the degree to which the research builds on and contributes to the level of knowledge in the field;

- The number of new or improved tools, instruments, protocols, and technologies developed and published by grantees that are deemed to improve the measurement of disability and rehabilitation-related concepts and to contribute to changes or improvements in policy, practice, and outcomes for individuals with disabilities and their families; and

- The number of new or improved assistive and universally designed technologies, devices, and systems developed by grantees that are deemed to improve rehabilitation services and outcomes and enhance opportunities for participation by, and are successfully transferred to industry for potential commercialization.

## VII. Agency Contact

For Further Information Contact: Kristi E. Wilson, U.S. Department of Education, 400 Maryland Avenue, SW., room 3433, Switzer Building, Washington, DC 20202-2645.

Telephone: (202) 260-0988 or via Internet:

kristi.wilson@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the TDD number at (202) 205-4475 or the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

## VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the

Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

[www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated: March 30, 2004

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Troy R. Justesen,  
Acting Deputy Assistant  
Secretary for Special  
Education and Rehabilitative Services.

**PART I - FEDERAL ASSISTANCE FACE PAGE (424)**

Application for Federal Education Assistance (ED 424)

U.S. Department of Education

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

Applicant Information

1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

3. Applicant's T-I-N |\_|\_|\_| - |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

4. Catalog of Federal Domestic Assistance #: 84. |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

Title: \_\_\_\_\_

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City State Zip code + 4

Tel. #: ( ) - Fax #: ( ) -

E-Mail Address: \_\_\_\_\_

Organizational Unit

6. Novice Applicant \_\_\_ Yes \_\_\_ No

7. Is the applicant delinquent on any Federal debt? \_\_\_ Yes \_\_\_ No  
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) |\_\_\_\_|

- A - State F - Independent School District  
B - Local G - Public College or University  
C - Special District H - Private, Non-profit College or University  
D - Indian Tribe I - Non-profit Organization  
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

Application Information

9. Type of Submission:

- PreApplication -Application  
\_\_\_ Construction \_\_\_ Construction  
\_\_\_ Non-Construction \_\_\_ Non-Construction

10. I

s application subject to review by Executive Order 12372 process?

\_\_\_ Yes (Date made available to the Executive Order 12372  
process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_ No (If "No," check appropriate box below.)  
\_\_\_ Program is not covered by E.O. 12372.  
\_\_\_ Program has not been selected by State for review.

11. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_

Start Date:

End Date:

12. Are any research activities involving human subjects planned at  
any time during the proposed project period?  
\_\_\_ Yes (Go to 12a.) \_\_\_ No (Go to item 13.)

12a. Are all the research activities proposed designated to be

exempt from the regulations?  
\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_  
\_\_\_ No (Provide Assurance #): \_\_\_\_\_

13. Descriptive Title of Applicant's Project:

Estimated Funding

- 14a. Federal \$ \_\_\_\_\_.00  
b. Applicant \$ \_\_\_\_\_.00  
c. State \$ \_\_\_\_\_.00  
d. Local \$ \_\_\_\_\_.00  
e. Other \$ \_\_\_\_\_.00  
f. Program Income \$ \_\_\_\_\_.00  
g. TOTAL \$ \_\_\_\_\_.00

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true  
and correct. The document has been duly authorized by the governing body of the applicant  
and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: \_\_\_\_\_

c. Tel. #: ( ) - Fax #: ( ) -

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative

\_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
- 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
- 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 8. Type of Applicant.** Enter the appropriate letter in the box provided.
- 9. Type of Submission.** See "Definitions for Form ED 424" attached.
- 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
- 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
- 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

**12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing

project location. For preapplications, use a separate sheet to provide a summary description of this project.

**14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

**15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please

enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: **U.S. Department of Education, Washington, D.C. 20202-4651.** If you have comments or concerns regarding the status of your individual submission of this form write directly to: **Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3671, Washington, D.C. 20202-4725**

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

**A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.**

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or*

*contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are

conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification

or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>*

## **BUDGET INFORMATION**



U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS

OMB Control No. 1890--0004  
Expiration Date: OMB Approved

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY**  
**U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**SECTION C - OTHER BUDGET INFORMATION (see instructions)**

## **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. This form is now undergoing OMB clearance and should be considered draft until a new valid OMB collection number is obtained.

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, DC 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington, DC 20503.

## **INSTRUCTIONS FOR ED FORM 524**

### General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program instructions if attached.

### Section A – Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e):

For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f):

Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e):

Show the total budget request for each project year for which funding is requested.

Line 12, column (f):

Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Section B – Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e):

For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f):

Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e):

Show the total matching or other contribution for each project year.

Line 12, column (f):

Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C – Other Budget Information

Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

## **ASSURANCES, CERTIFICATIONS, DISCLOSURES**

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

### PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.≡
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

## **CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

### **1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

### **2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### **3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check ☐ if there are workplaces on file that are not identified here.

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

#### **DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

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**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled A Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

### Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<b>Type of Federal Action:</b> _____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance	<b>Status of Federal Action:</b> _____ a. bid/offer/application _____ b. initial award _____ c. post-award	<b>Report Type:</b> _____ a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>Name and Address of Reporting Entity:</b> _____ Prime      _____ Subawardee Tier _____, if Known:   <b>Congressional District, if known:</b>	<b>If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>    <b>Congressional District, if known:</b>	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b> <b>Federal Program Name/Description:</b>   CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> <b>Award Amount, if known:</b>  \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction</b> <b>Standard Form - LLL (Rev. 7-97)</b>	

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

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If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education  
Application Control Center  
(202) 708-9493

## **GRANT AND CONTRACT FUNDING INFORMATION**

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The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page      <http://www.ed.gov/>      (WWW address)